

JC985 U.S. PTO  
06/29/01

07-02-01

PTO/SB/05 (4/98)

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

|  |  |
|--|--|
| Attorney Docket No.                      | ENR100/4-15  |
| First Inventor or Application Identifier | Louise J. Kitchen  |
| Title                                    | Single Party Buying and Selling Commodities with Multiple Counterparties |
| Express Mail Label No.                   | EL686097760US  |

JC986 U.S.  
06/29/01

| APPLICATION ELEMENTS   | ADDRESS TO:  |           |                |          |                |
|--|--|-----------|----------------|----------|----------------|
| <p style="margin-left: 20px;">Assistant Commissioner for Patents<br/>Box Patent Application<br/>Washington, DC 20231</p>   |  |           |                |          |                |
| <p>1. <input checked="" type="checkbox"/> *Fee Transmittal Form (e.g., PTO/SB/17)<br/>(Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages 56]<br/>(preferred arrangement set forth below)           <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- References to Microfiche Appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> </p> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets 16]</p> <p>4. Oath or Declaration [Total Pages 1]           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63 (d))<br/>(for continuation/divisional with Box 16 completed)</li> <li>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br/>Signed statement attached deleting<br/>inventor(s) named in the prior application.<br/>see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</li> </ul> </p> <p>16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:<br/> <input type="checkbox"/> Continuation   <input type="checkbox"/> Divisional   <input type="checkbox"/> Continuation-in-part (CIP)      of prior application No: _____ / _____<br/>           Prior application information: Examiner _____ Group / Art Unit: _____</p> <p>For CONTINUATION or DIVISIONAL APPS only : The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.</p> | <p>5. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>6. Nucleotide and/or Amino Acid Sequence Submission<br/>(if applicable, all necessary)           <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Copy</li> <li>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</li> <li>c. <input type="checkbox"/> Statement verifying identity of above copies</li> </ul> </p> |           |                |          |                |
| <p style="text-align: center;"><b>ACCOUNTING APPLICATION PARTS</b></p> <p>7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>8. <input checked="" type="checkbox"/> 37 C.F.R. § 3.73(b) Statement <input checked="" type="checkbox"/> Power of<br/>(when there is an assignee) <input checked="" type="checkbox"/> Attorney</p> <p>9. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>10. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input checked="" type="checkbox"/> Copies of IDS Citations</p> <p>11. <input type="checkbox"/> Preliminary Amendment</p> <p>12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br/>*Should be specifically itemized<br/>Statement filed in prior application,</p> <p>13. <input type="checkbox"/> (PTO/SB/09-12) <input type="checkbox"/> Status still proper and desired</p> <p>14. <input type="checkbox"/> Certified Copy of Priority Document(s)<br/>(if foreign priority is claimed)</p> <p>15. <input type="checkbox"/> Other: _____<br/>_____<br/>_____</p>  |  |           |                |          |                |
| 17. CORRESPONDENCE ADDRESS   |  |           |                |          |                |
| <p><input type="checkbox"/> Customer Number or Bar Code Label <span style="border: 1px dashed black; padding: 2px;">(Insert Customer No. or Attach bar code label here)</span> or <input checked="" type="checkbox"/> Correspondence address below</p>   |  |           |                |          |                |
| Name   | Stephen S. Hodgson<br>Vinson & Elkins L.L.P.   |           |                |          |                |
| Address  | 2300 First City Tower<br>1001 Fannin   |           |                |          |                |
| City   | Houston  | State     | Texas          | Zip Code | 77002-6760     |
| Country  | U.S.A.   | Telephone | (713) 758-2604 | Fax      | (713) 615-5730 |

|                   |                      |                                   |              |
|-------------------|----------------------|-----------------------------------|--------------|
| Name (Print/Type) | Stephen S. Hodgson   | Registration No. (Attorney/Agent) | 41,075       |
| Signature         | <i>Steve Hodgson</i> |                                   | Date 6/29/01 |

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12  
See 37 C.F.R. §§ 1.27 and 1.28

TOTAL AMOUNT OF PAYMENT (\$750.00)

## Complete if Known

|                      |                   |
|----------------------|-------------------|
| Application Number   |                   |
| Filing Date          |                   |
| First Named Inventor | Louise J. Kitchen |
| Examiner Name        |                   |
| Group / Art Unit     |                   |
| Attorney Docket No.  | ENR100/4-15       |

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 22-0365

Deposit Account Name Vinson & Elkins L.L.P.

Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

2.  Payment Enclosed:

Check  Money Order  Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity Fee Code | Small Entity Fee Code | Fee (\$) | Fee Description           | Fee Paid |
|-----------------------|-----------------------|----------|---------------------------|----------|
| 101                   | 710                   | 201      | 355 Utility filing fee    | 710.00   |
| 106                   | 320                   | 206      | 160 Design filing fee     |          |
| 107                   | 490                   | 207      | 245 Plant filing fee      |          |
| 108                   | 710                   | 208      | 355 Reissue filing fee    |          |
| 114                   | 150                   | 214      | 75 Provisional filing fee |          |

SUBTOTAL (1) (\$ 710.00)

### 2. EXTRA CLAIMS FEES

| Total Claims       | Extra Claims | Fee from below | Fee Paid |
|--------------------|--------------|----------------|----------|
| 10                 | -20** = 0    | X 18           | = 0.00   |
| Independent Claims | 2 - 3** = 0  | X 80           | = 0.00   |
| Multiple Dependent |              |                | = 0.00   |

\*\*or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code | Small Entity Fee Code | Fee (\$) | Fee Description   |
|-----------------------|-----------------------|----------|---|
| 103                   | 18                    | 203      | 9 Claims in excess of 20                                    |
| 102                   | 80                    | 202      | 40 Independent claims in excess of 3                        |
| 104                   | 270                   | 204      | 135 Multiple dependent claim, if not paid                   |
| 109                   | 80                    | 209      | 40 **Reissue independent claims over original patent        |
| 110                   | 18                    | 210      | 9 **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$ 0.00)

### 3. ADDITIONAL FEES

| Large Entity Fee Code                 | Entity Fee (\$) | Small Entity Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid |
|---------------------------------------|-----------------|-----------------------|-----------------|--|----------|
| 105                                   | 130             | 205                   | 65              | Surcharge – late filing fee or oath  |          |
| 127                                   | 50              | 227                   | 25              | Surcharge – late provisional filing fee or cover sheet                     |          |
| 139                                   | 130             | 139                   | 130             | Non-English specification  |          |
| 147                                   | 2,520           | 147                   | 2,520           | For filing a request for reexamination                                     |          |
| 112                                   | 920*            | 112                   | 920*            | Requesting publication of SIR prior to Examiner action                     |          |
| 113                                   | 1,840*          | 113                   | 1,840*          | Requesting publication of SIR after Examiner action                        |          |
| 115                                   | 110             | 215                   | 55              | Extension for reply within first month                                     |          |
| 116                                   | 390             | 216                   | 195             | Extension for reply within second month                                    |          |
| 117                                   | 890             | 217                   | 445             | Extension for reply within third month                                     |          |
| 118                                   | 1,390           | 218                   | 695             | Extension for reply within fourth month                                    |          |
| 128                                   | 1,890           | 228                   | 945             | Extension for reply within fifth month                                     |          |
| 119                                   | 310             | 219                   | 155             | Notice of Appeal   |          |
| 120                                   | 310             | 220                   | 155             | Filing a brief in support of an appeal                                     |          |
| 121                                   | 270             | 221                   | 135             | Request for oral hearing   |          |
| 138                                   | 1,510           | 138                   | 1,510           | Petition to institute a public use proceeding                              |          |
| 140                                   | 110             | 240                   | 55              | Petition to revive – unavoidable   |          |
| 141                                   | 1,240           | 241                   | 620             | Petition to revive – unintentional   |          |
| 142                                   | 1,240           | 242                   | 620             | Utility issue fee (or reissue)   |          |
| 143                                   | 440             | 243                   | 220             | Design issue fee   |          |
| 144                                   | 600             | 244                   | 300             | Plant issue fee  |          |
| 122                                   | 130             | 122                   | 130             | Petitions to the Commissioner  |          |
| 123                                   | 50              | 123                   | 180             | Petitions related to provisional applications                              |          |
| 126                                   | 180             | 126                   | 180             | Submission of Information Disclosure Stmt                                  |          |
| 581                                   | 40              | 581                   | 40              | Recording each patent assignment per property (times number of properties) |          |
| 146                                   | 710             | 246                   | 355             | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
| 149                                   | 710             | 249                   | 355             | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
| Other fee (specify) Record Assignment |                 |                       |                 | 40.00  |          |
| Other fee (specify)                   |                 |                       |                 |  |          |

\* Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$ 40.00)

## SUBMITTED BY

|           |                      |                                      |        |           |                |
|-----------|----------------------|--------------------------------------|--------|-----------|----------------|
| Name      | Stephen S. Hodgson   | Registration No.<br>(Attorney/Agent) | 41,075 | Telephone | (713) 758-2604 |
| Signature | <i>Steve Hodgson</i> |                                      |        |           |                |
| Date      | 6/29/01              |                                      |        |           |                |